

Office Work Instruction (OWI)

HOWI8310-S019A

05/10/1999

Responsible Office: NASA Headquarters Office of Space Science (OSS) [Code S]
Research Programs Management Division (Code SR)

Subject: Announcement of Opportunity (AO) for Science Flight Missions

DOCUMENT HISTORY LOG

STATUS (BASELINE/ REVISION/ CANCELED)	DOCUMENT REVISION	EFFECTIVE DATE	DESCRIPTION
Baseline		02/02/1999	This is the initial "baseline" version of the OWI.
Revision	A	05/10/1999	This revision incorporates modifications responsive to NCRs #293, #302, #303, #311, #315, #317, and #324 from the NASA HQ ISO-9001 Pre-Assessment audit.

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1. PURPOSE The purpose of this Office Work Instruction (OWI) is to define the process by which the Office of Space Science (OSS) generates and issues Broad Agency Announcements (BAAs) of solicitations of investigations in the category of Announcements of Opportunity (AOs).

2. SCOPE AND APPLICABILITY

2.1 One of the most important activities of a science manager in OSS is the solicitation and selection of research investigations for NASA funding. The distinguishing characteristic of all NASA BAAs is that they solicit ideas for basic research investigation, the end result of which is new knowledge and sometimes data that are to be made publicly available at the conclusion of the investigation.

2.2 AOs are used to solicit basic research investigations, usually with hardware responsibility for a unique space-flight mission, a program of flight missions, or unique non-flight programs. AOs can also be used for selection of a science team for a flight mission, with responsibility only for data analysis and mission operations.

2.3 Investigations selected via AOs can range in cost from a few hundred thousand dollars to several hundred million dollars.

2.4 The key features of an AO are the relative uniqueness of the opportunity and the fact that the supporting budget is usually a unique line item authorized by Congress.

2.5 Education and Public Outreach programs are required components of all proposals submitted in response to OSS AOs. Program scientists are responsible for ensuring that AOs contain appropriate language concerning Education and Public Outreach.

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- 2.6 AOs must conform to high standards for completeness, clarity, and style and must comply with applicable Federal Acquisition Regulations (FARs) and NASA FAR Supplements (NFSs).
- 2.7 AOs must be publicly announced in advance of their formal release and must be openly available to the public on their advertised release date.
- 2.8 Proposals submitted in response to AOs are subjected to full peer review for scientific, technical, fiscal, and programmatic merits.
- 2.9 A Designated Selecting Official selects qualified proposals of merit within the limits of the available program budget.
- 2.10 The Senior Program Executive for Review and Evaluation oversees the preparation, approval, and release of all OSS AOs.
- 2.11 Basic research investigations do not lend themselves to specific performance or engineering specification. Consequently, standard requests for proposals (RFPs) are not used to solicit OSS research proposals.

3. DEFINITIONS

- 3.1 Categorization Sub-committee. The sub-committee of the Space Science Steering Committee empowered to categorize proposals per NASA FAR Supplement (NFS) 1872.
- 3.2 Code G. The NASA Headquarters Office of the General Counsel.
- 3.3 Code H. The NASA Headquarters Office of Procurement.
- 3.4 Code I. The NASA Headquarters Office of External Relations.

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- 3.5 Code S. The NASA Headquarters Office of Space Science.
- 3.6 Designated Selecting Official. The NASA official designated to determine the source for award of a contract or grant.
- 3.7 Non-conflicted reviewer. Scientific peers who have no real or apparent financial interests, institutional affiliations, professional biases and associations, or familiar relationships with AO proposers or their institutions.
- 3.8 Notice of Intent. A notice or letter submitted by a potential investigator indicating the intent to submit a proposal in response to an AO.
- 3.9 Peer Review. The process of proposal review utilizing a group of peers, by mail and/or meeting in panel, in accordance with the evaluation criteria stated in an AO.
- 3.10 Program Scientist. In accordance with delegation authority from the OSS AA, responsible for: providing science policy, strategy, and standards that support OSS goals and standards; determining science objectives, goals, and requirements; approving principal program documents; providing science leadership for the program, and assessing science performance.
- 3.11 Space Science Steering Committee. The panel appointed by the OSS AA in accordance with NASA FAR Supplement (NFS) 1872 that is empowered to review all documentation and processes leading to a recommendation for selection of proposals submitted in response to an AO.

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3.12 Technical/Management/Cost/Outreach (TMCO). The series of evaluation factors against which proposals are graded in addition to their scientific merit.

4. REFERENCES

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|------|--------------------------|---|
| 4.1 | ANSI/ISO/ASQC Q9001-1994 | American National Standard, Quality Systems --
Model for Quality Assurance in Design,
Development, Production, Installation, and
Servicing |
| 4.2 | HCP1280-2 | Corrective and Preventive Action |
| 4.3 | HCP1280-3 | Internal Quality Audits |
| 4.4 | HCP1400-1 | Document and Data Control |
| 4.5 | HCP3410-4 | Employee Training |
| 4.6 | HQPC1150.1 | NASA Headquarters Quality Council Policy
Charter |
| 4.7 | HQSM1200-1 | NASA Headquarters Quality System Manual |
| 4.8 | NHB 5100.4 | NASA FAR Supplement Part 1872.0
Acquisition of Investigations |
| 4.9 | NHB 5100.4 | NASA FAR Supplement Part 1872.505
Debriefing Proposers |
| 4.10 | NPD 1000.1 | NASA Strategic Plan |

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4.11	NPD 8730.3	NASA Quality Management System Policy (ISO 9000)
4.12	NPG 1000.2	NASA Strategic Management Handbook
4.13	NPG 1441.1	NASA Records Retention Schedules (NRRS)
4.14		NASA Budget

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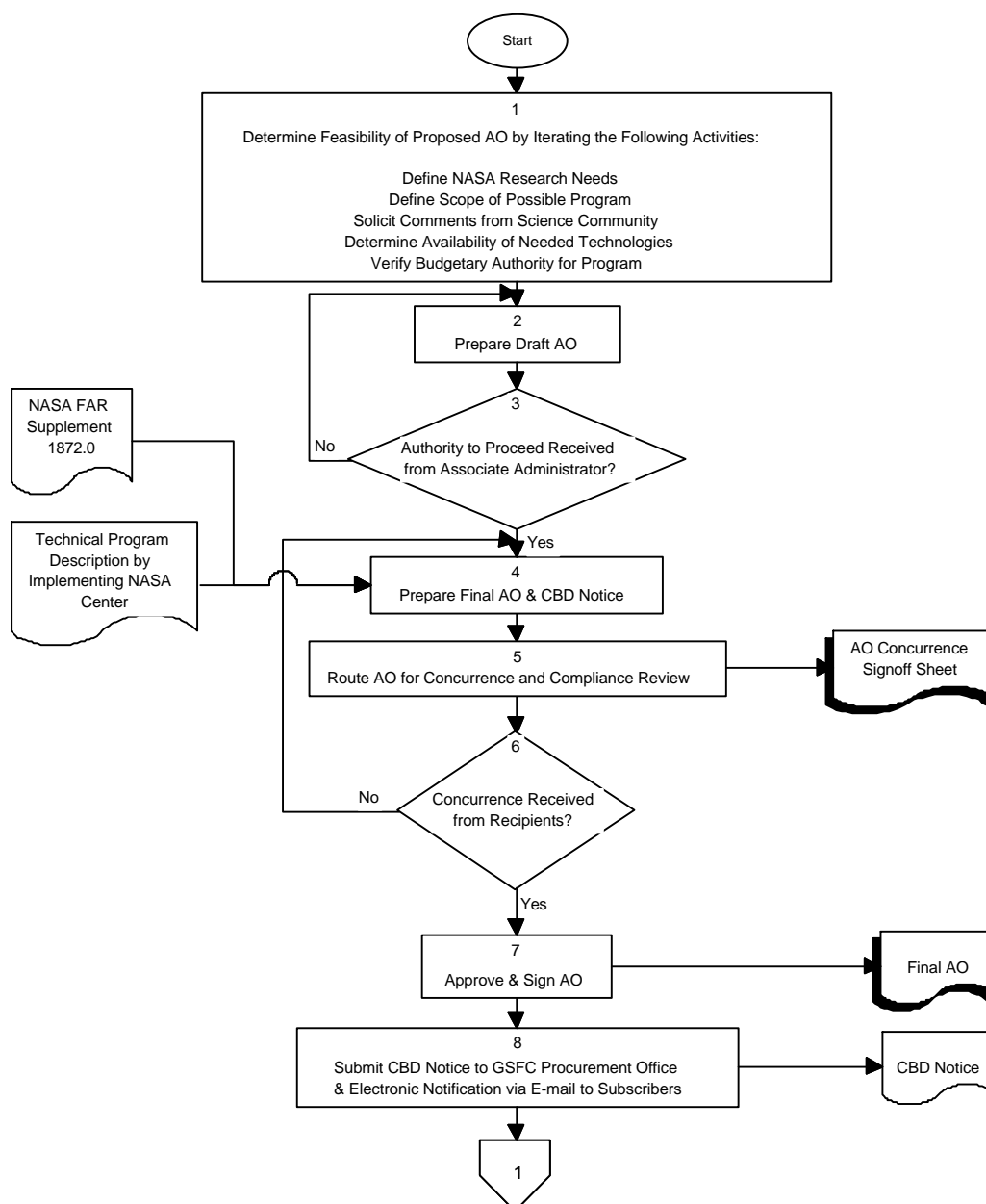
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5. FLOWCHART

[NOTE: "Quality record" output products are identified via shadowing of the standard ANSI document symbol.]



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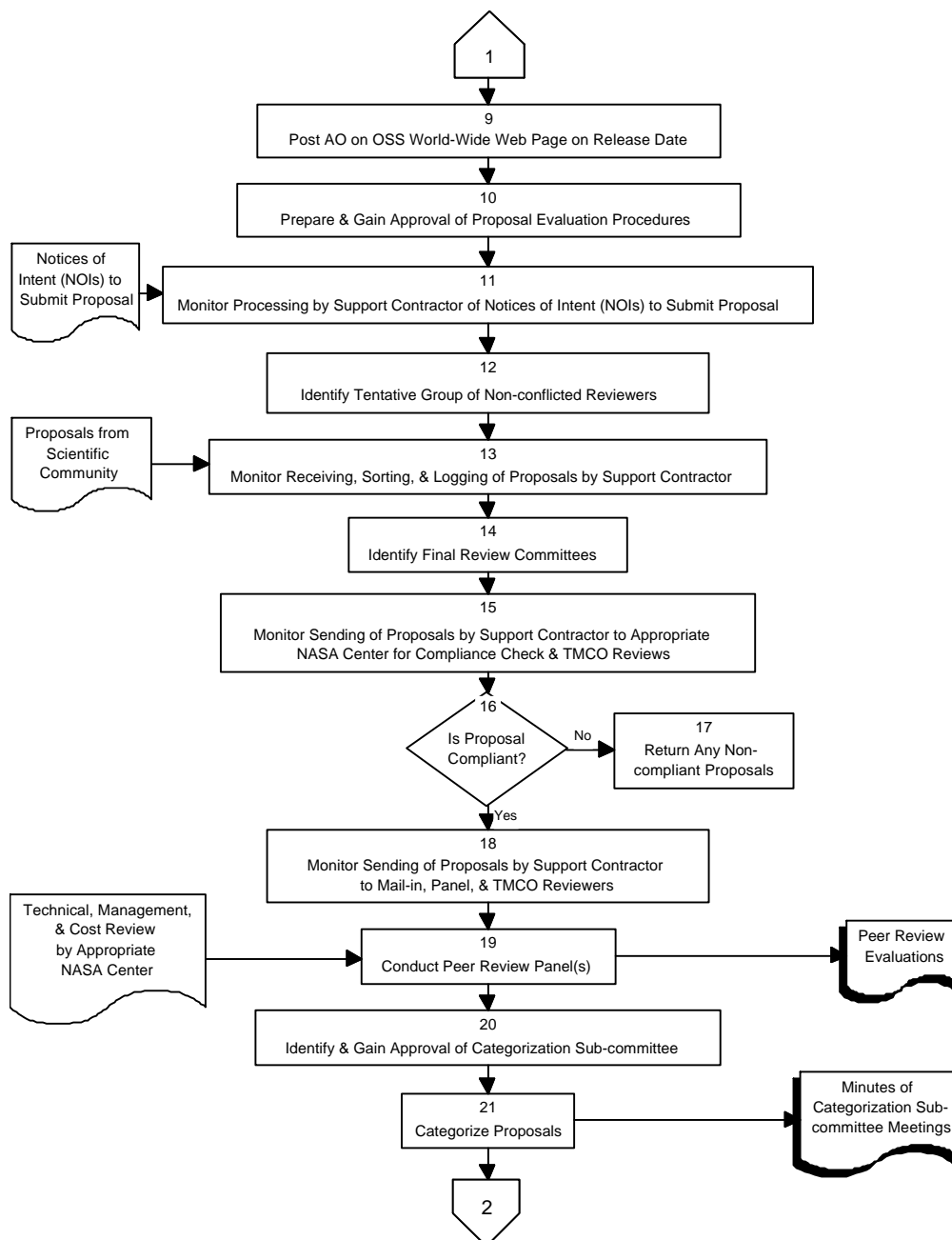
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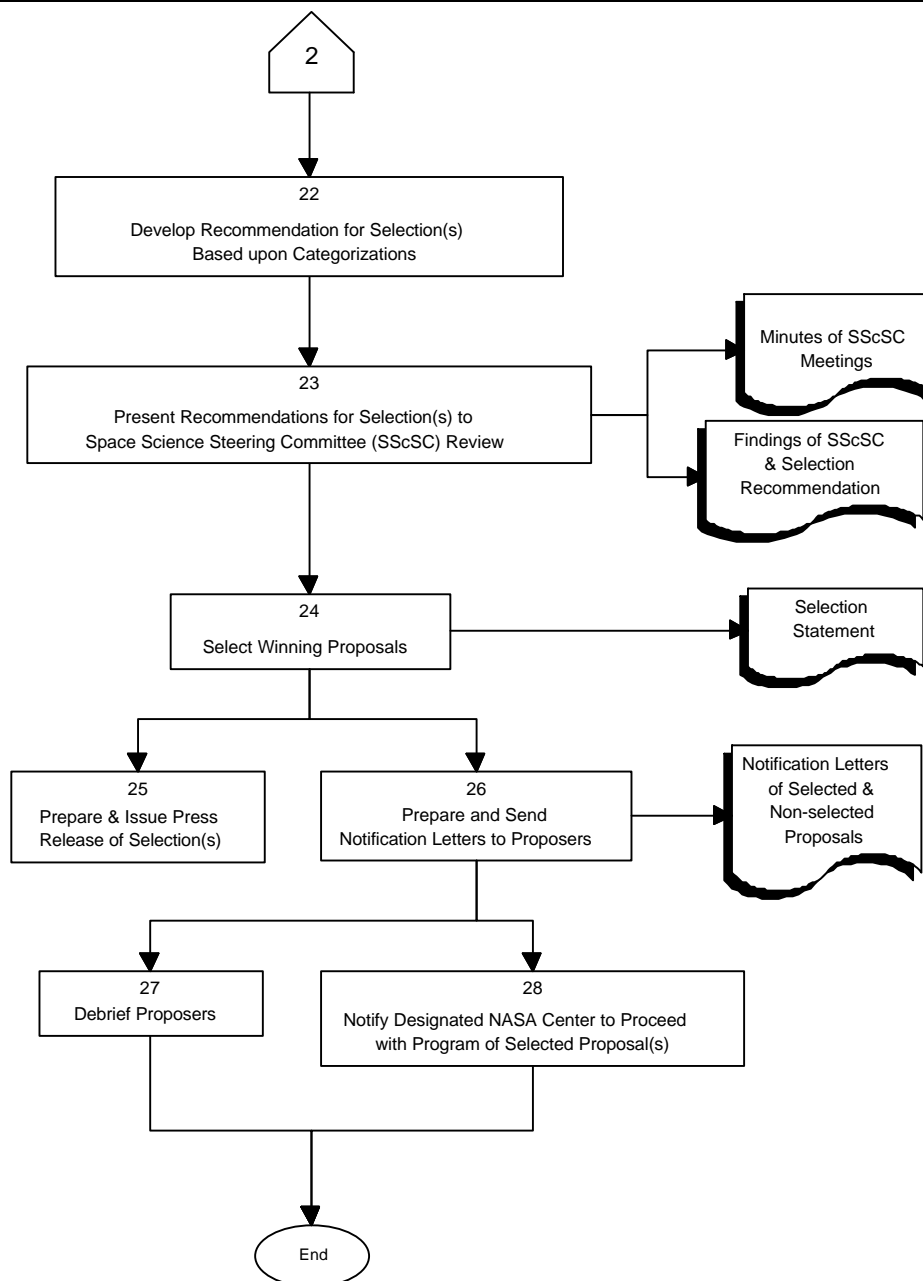
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6. PROCEDURE

[NOTE: The following sequence of process steps is numbered in accordance with the number assigned to each corresponding function block in the flowchart in Section 5.]

<u>STEP #</u>	<u>AGENTS</u>	<u>DESCRIPTION</u>
1	Program Scientist	Determine the feasibility of a proposed AO by iterating the following activities: <ul style="list-style-type: none">• Define NASA research needs• Define the scope of a possible program• Solicit comments from the science community• Determine the availability of needed technologies• Verify budgetary authority for the program <p><i>[NOTE: These activities occur in parallel in an iterative manner.]</i></p>
2	Program Scientist	Prepare the draft AO, and solicit and incorporate comments and recommendations on it from all program-responsible personnel.
3	Program Scientist	If authority to proceed with issuance of the possible AO is received from the OSS Associate Administrator (AA), proceed to Step #4. If authority to proceed is denied by the OSS AA, return to Step #2.
4	Program Scientist	Prepare the final version of the AO and the notice summarizing the purpose and content of the AO for publication via the Commerce Business Daily (CBD).
5	Program Scientist	Submit the final version of the AO to the OSS Senior Science Program Executive for Review and Evaluation for review and concurrence and establishment of the appropriate concurrence list.

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| 6 | Program Scientist | Determine whether any of the reviewers of the final version of the AO have non-concurred. If not, submit the AO for approval and signature per Step #7. If non-concurrences have been received (e.g., from Code S, Code I, Code H, and/or Code G), revise the AO as appropriate and repeat the review cycle in Steps #4 and #5. |
| 7 | Designated Selecting Official | The OSS AA or a Science Program Director (as appropriate) approves and signs the final AO. |
| 8 | Program Support Specialist | The Commerce Business Daily (CBD) notice is sent to the Goddard Space Flight Center (GSFC) Procurement Office which then publicly announces the forthcoming AO via the CBD fifteen calendar days prior to formal release of the AO. |
| 9 | Program Support Specialist | Post the AO on the OSS World-Wide Web home page on the morning of its official release date. |
| 10 | Program Scientist | Prepare a proposal evaluation procedure and obtain approval of it from the Designated Selecting Official. |
| 11 | Program Scientist | Monitor the OSS Support Contractor's activities of processing Notices of Intent (NOIs) to submit proposals. OSS <i>requests</i> that all interested proposers submit NOIs. Although these NOIs are not mandatory, they facilitate OSS selection of peer reviewers of submitted proposals by identifying prospective proposers that are therefore ineligible to serve as peer reviewers. |
| 12 | Program Scientist | Identify a tentative group of non-conflicted reviewers of proposals submitted in response to the AO, based upon NOIs and upon research areas expected in proposals. |
| 13 | Program Scientist | Monitor the OSS Support Contractor's activities of receiving, sorting, and logging all submitted proposals. |

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| 14 | Program Scientist | Identify the final membership of proposal review committees, based upon actual proposers and research areas. |
| 15 | Program Scientist | Monitor the OSS Support Contractor's activity of sending the proposals to the appropriate NASA Center for check on compliance-with AO and TMCO reviews. |
| 16 | Program Scientist | Based upon the activity in Step #15, determine whether each proposal is compliant with the requirements of the AO. For non-compliant proposals, proceed to Step #17. For compliant proposals, proceed to Step #18. |
| 17 | Program Scientist | Return any non-compliant proposals to their submitters. |
| 18 | Program Scientist | Monitor the OSS Support Contractor's activity of sending copies of received proposals to all designated reviewers. Some of these reviewers may conduct a "remote" review and submit their evaluations via the U.S. Mail. Other reviewers will participate in an "on-site" review panel. |
| 19 | Program Scientist | Convene the Peer Review Panel(s) to review and evaluate each proposal. Technical, management, and cost-review inputs (generated in Step #18) from the appropriate NASA Center are examined by the Peer Review Panel(s). The Panel(s) incorporates the inputs submitted from "remote" mail-in reviewers (if applicable) into a set of Peer Review evaluations for the proposals. |
| 20 | Program Scientist | Identify the membership of the Categorization Sub-committee. Obtain approval of the membership. |
| 21 | Categorization Sub- | The Categorization Sub-committee meets to categorize the proposals based upon the Peer Review evaluations. |

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committee

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| 22 | Program Scientist | Develop a recommendation for selection of successful proposals based upon assigned categorizations. |
| 23 | Program Scientist | Present recommendations for proposal selection(s) to the Space Science Steering Committee (SScSC). The SScSC serves as a review board to ensure the adequacy, completeness, and fairness of the review and that all regulations and procedures are followed in issuing the AO, conducting the peer review, and formulating a recommendation for selection. The SScSC ensures that the selection is based upon the merits of the submitted proposals and that the selection can withstand legal scrutiny. The Senior Program Executive/Review and Evaluation (SPE/R&E) is the Chairperson of the SScSC. A candidate membership list of OSS science personnel for the SScSC is approved by the OSS AA, from which the Chairperson seeks a quorum (set at five, including the Chairperson). |
| 24 | Designated Selecting Official | Select the winning proposals. |
| 25 | Program Scientist | Prepare and issue a Press Release identifying the selected proposal(s). |
| 26 | Program Scientist | Prepare and send notification letters to all proposal submitters to identify which proposals have been selected. |
| 27 | Program Scientist | Debrief all proposal submitters. |
| 28 | Program Scientist | Notify the designated NASA Center to proceed with the Program of the selected proposal(s). Send a copy of the Selection Statement, Letters of Selection, and originals of the selected proposals to the NASA Center responsible for |

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implementing the program.

7. QUALITY RECORDS

RECORD IDENTIFICATION	OWNER	LOCATION	MEDIA: ELECTRONIC OR HARDCOPY	SCHEDULE NUMBER AND ITEM NUMBER	RETENTION/ DISPOSITION
AO Concurrence Signoff Sheets	Program Scientist	Program Scientist's office	Hardcopy	Schedule 7, Item 8	Transfer all files to the responsible division/project 2 years after award. Records will be incorporated into the official project file, or grant/contract file.
Announcements of Opportunity (AOs)	Code SR Program Support Specialist	Code SR Division Files	Hardcopy	Schedule 7, Item 8	Transfer all files to the responsible division/project 2 years after award. Records will be incorporated into the official project file, or grant/contract file.
Peer Review evaluations	Program Scientist	Program Scientist's office	Hardcopy	Schedule 7, Item 9A1 & Item 9A2	For accepted proposals: File documentation with related grant or contract file; destroy accordingly. For rejected proposals: Retire to FRC when 1 year old. Destroy when 5 years old.
Minutes of Categorization Sub-committee Meetings	Program Scientist	Program Scientist's office	Hardcopy	Schedule 5, Item 13A	Maintain as an integral unit. Retire and destroy with the related contract file. See Schedule 5, Item 1.A.3 if contract is precedent setting or unique. Retiring activities place destruction date on the SF 135.
Minutes of SScSC Meetings	Program Scientist	Program Scientist's office	Hardcopy	Schedule 5, Item 13A	Maintain as an integral unit. Retire and destroy with the related contract file. See Schedule 5, Item 1.A.3 if contract is precedent setting or unique. Retiring

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					activities place destruction date on the SF 135.
Findings of the SScSC and selection recommendations	Program Scientist	Program Scientist's office	Hardcopy	Schedule 5, Item 13A	Maintain as an integral unit. Retire and destroy with the related contract file. See Schedule 5, Item 1.A.3 if contract is precedent setting or unique. Retiring activities place destruction date on the SF 135.
Selection Statements for winning proposals	Program Scientist	Program Scientist's office	Hardcopy	Schedule 5, Item 13B	Retire to FRC 1 year after the end of the fiscal year in which the selection took place. Destroy 6 years after the fiscal year in which the selection took place.
Notification letters of selected and non- selected proposals	Program Scientist	Program Scientist's office	Hardcopy	Schedule 5, Item 13B	Retire to FRC 1 year after the end of the fiscal year in which the selection took place. Destroy 6 years after the fiscal year in which the selection took place.

[NOTE #1: These "quality record" output products are identified in Section 5 ("Flowchart") of this OWI via shadowing of the standard ANSI document symbol.]

[NOTE #2: In accordance with NPG 1441.1 NASA Records Retention Schedules, "... installations' office of primary responsibility will maintain one official record copy ...; reference copies may be maintained for related work". Therefore, the "Retention" and "Disposition" aspects of quality records apply only to the one official record copy of each quality record.]